

STATE OF MAINE
DEPARTMENT OF HEALTH AND HUMAN SERVICES
Office of the State Coordinator, Health Information Technology
(Office of MaineCare Services)

RFP # (this number will be assigned by the Division of Purchases)

*Request for program evaluation of Maine's Office of the State
Coordinator, including Health Information Exchange Cooperative
Agreement*

RFP Coordinator: Dawn R. Gallagher, Office of the State Coordinator for Health Information
Technology, 242 State Street, Augusta, ME 04344

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From the time this RFP is issued until award notification is made, all contact with the State regarding this RFP must be made through the aforementioned RFP Coordinator. No other person / State employee is empowered to make binding statements regarding this RFP. Violation of this provision may lead to disqualification from the bidding process, at the State's discretion.

Bidders' Conference: None

Deadline for Submitted Questions: August 16, 2013 5:00 p.m. local time

Proposals Due: August 28, 2013 not later than 2:00 p.m. local time

Submit to:

Division of Purchases
Burton M. Cross Building, 111 Sewall Street, 4th Floor
9 State House Station, Augusta ME 04333-0009

TABLE OF CONTENTS

Public Notice	2
PART I INTRODUCTION	3
A. Purpose and Background.....	3
B. General Provisions	3
C. Eligibility to Submit Bids.....	4
D. Contract Term	4
E. Number of Awards	4
PART II SCOPE OF SERVICES	5
PART III KEY RFP EVENTS	9
A. Timeline of Key RFP Events	9
B. Bidders Conference	9
C. Questions.....	9
D. Submitting the Proposal	10
PART IV PROPOSAL SUBMISSION REQUIREMENTS	11
A. Proposal Format	11
B. Proposal Contents.....	11
Section I Organization Qualifications and Experience	11
Section II Specifications of Work to be Performed	13
Section III Cost Proposal	13
Section IV Economic Impact within the State of Maine	14
Section V Required Proposal Attachments.....	14
PART V PROPOSAL EVALUATION AND SELECTION	15
A. Evaluation Process - General Information	15
B. Scoring Weights and Process	15
C. Selection and Award	16
D. Appeal of Contract Awards.....	16
PART VI CONTRACT ADMINISTRATION AND CONDITIONS	18
A. Contract Document	18
B. Standard State Agreement Provisions	18
PART VII LIST OF RFP APPENDICES AND RELATED DOCUMENTS	20
PART VIII APPENDICES	21
PROPOSAL COVER PAGE.....	21
COST PROPOSAL FORM	22
EVALUATION TEMPLATE FROM ONC.....	23

State of Maine
Department of Health and Human Services
Public Notice for RFP # (insert RFP # once provided)
Request for program evaluation of Maine's Office of the State Coordinator,
including Health Information Exchange Cooperative Agreement

The State of Maine Department of Health and Human Services, and Office of the State Coordinator for Health Information Technology has a requirement for a state-level program evaluation of Maine's Health Information Exchange Program. In accordance with State procurement practices, the Department is hereby announcing the publication of a Request for Proposals (RFP) #(insert RFP# once provided) for the purchase of the aforementioned services.

A copy of the RFP can be obtained by contacting the Department's RFP Coordinator for this project: Dawn R. Gallagher, Office of the State Coordinator for Health Information Technology. The RFP Coordinator can be reached at the following email address: dawn.r.gallagher@maine.gov or mailing address: 242 State Street, Augusta ME 04333. The Department encourages all interested vendors to obtain a copy of the RFP and submit a competitive proposal.

Proposals must be submitted to the State of Maine Division of Purchases, located at the Burton M. Cross Office Building, 111 Sewall Street, 4th Floor, 9 State House Station, Augusta, Maine, 04333-0009. Proposals must be submitted by 2:00 pm, local time, on August 28, 2013, when they will be opened at the Division of Purchases' aforementioned address. Proposals not received at the Division of Purchases' aforementioned address by the aforementioned deadline will not be considered for contract award.

State of Maine - Department of Health and Human Services

RFP # (insert RFP # once provided)

Request for program evaluation of Maine's Office of the State Coordinator, including Health Information Exchange Cooperative Agreement

PART I INTRODUCTION

A. Purpose and Background

The Maine Department of Health and Human Services, Office of the State Coordinator for Health Information Technology ("Department") is seeking proposals to provide a state-level program evaluation of Maine's Office of the State Coordinator for Health Information Technology, to include the Health Information Exchange Cooperative Agreement Program as defined in this Request for Proposals (RFP) document. This document provides instructions for submitting proposals, the procedure and criteria by which the Provider(s) will be selected, and the contractual terms which will govern the relationship between the State of Maine ("State") and the awarded Bidder(s). The evaluator will also be asked to provide an evaluation of the Office of the State Coordinator ("OSC"), to include an evaluation of the progress made to meet the goals and objectives of the OSC Program; how the OSC has fostered the integration of HIT into existing and emerging health care initiatives; and recommendations to continue the progress toward meeting the goals and objectives.

In April 2011, the State of Maine was awarded funds by the Office of the National Coordinator for Health Information Technology (ONC)'s State Health Information Exchange Cooperative Agreement Program. The purpose of this award is to develop, implement and facilitate health information technology (HIT) and health information exchange (HIE) in the state of Maine. The Maine program is housed in the Office of the State Coordinator for HIT in the Office of MaineCare Services under the Maine Department of Health and Human Services, which is the sponsor of this program. The program's efforts to advance HIE are carried out in the context of a Statewide HIT Plan approved by the ONC and State policies and laws. The primary purpose of the program is to support the federal/state partnership Health Information Technology for Economic and Clinical Health (HITECH) vision.

As required by section 3013 of the HITECH Act, the ONC will conduct a national program evaluation and will provide documented lessons learned, technical assistance and program guidance based on the results. As part of ONC's evaluation, each state's Office of the State Coordinator for Health Information Technology is required to conduct a state-level program evaluation of that state's Health Information Technology and Exchange Program. In Maine, the Office of the State Coordinator has oversight of the State's Medicaid Meaningful Use program which has incorporated the goals and objectives of the ONC and the OSC into the Meaningful Use program. It is important to assess both the OSC and the MaineCare Meaningful Use as part of the OSC evaluation as these two programs chart the path forward for the future of HIT in Maine. Thus, the evaluation will have two components: 1) Evaluation of the State's Health Information Exchange cooperative agreement with HealthInfoNet, a private non-profit Maine company which operates the state-wide HIE; and 2) Evaluation of the Office of the State Coordinator for HIT program and recommendations for continued integration of HIT and a sustainable HIT effort.

B. General Provisions

1. Issuance of this RFP does not commit the Department to issue an award or to pay expenses incurred by a Bidder in the preparation of a response to this RFP. This includes attendance at personal interviews or other meetings and software or system demonstrations, where applicable.

2. All proposals should adhere to the instructions and format requirements outlined in this RFP and all written supplements and amendments (such as the Summary of Questions and Answers), issued by the Department. Proposals are to follow the format and respond to all questions and instructions specified below in the “Proposal Submission Requirements and Evaluation” section of this RFP.
3. Bidders shall take careful note that in evaluating a proposal submitted in response to this RFP, the Department will consider materials provided in the proposal, information obtained through interviews/presentations (if any), and internal Departmental information of previous contract history with the Bidder (if any). The Department also reserves the right to consider other reliable references and publicly available information available in evaluating a Bidder’s experience and capabilities. The proposal shall be signed by a person authorized to legally bind the Bidder and shall contain a statement that the proposal and the pricing contained therein will remain valid and binding for a period of 180 days from the date and time of the bid opening.
4. The RFP and the selected Bidder’s proposal, including all appendices or attachments, will be incorporated in the final contract.
5. Following announcement of an award decision, all submissions in response to this RFP will be considered public records available for public inspection pursuant to the State of Maine Freedom of Access Act (FOAA) (1 M.R.S. §§ 401 *et seq.*). If a Bidder submits materials that it claims are confidential because they are not “public records” pursuant to FOAA, the Bidder must (1) conspicuously and precisely designate those particular portions of its materials as “confidential” and (2) provide the specific statutory or other legal basis that exempts the designated materials from FOAA’s definition of “public record.” (*See* 1 M.R.S. § 402; <http://www.maine.gov/foaa/law/exceptions.htm>.) A Bidder’s confidential designation does not ensure nondisclosure of the material; the State shall determine whether submitted materials are “public records.”
6. The Department, at its sole discretion, reserves the right to recognize and waive minor informalities and irregularities found in proposals received in response to this RFP.
7. The State of Maine Division of Purchases reserves the right to authorize other Departments to use the contract(s) resulting from this RFP, if it is deemed to be beneficial for the State to do so.
8. All applicable laws, whether or not herein contained, shall be included by this reference. It shall be Proposer’s/Vendor’s responsibility to determine the applicability and requirements of any such laws and to abide by them.

C. Eligibility to Submit Bids

Public agencies, private for-profit companies, and non-profit companies [including 501 (c) (3)] and institutions are invited to submit bids in response to this Request for Proposals.

D. Contract Term

The Department is seeking a cost-efficient proposal to provide services, as defined in this RFP, for the anticipated contract period defined below. Please note that the dates below are estimated and may be adjusted as necessary in order to comply with all procedural requirements associated with this RFP and the contracting process. The actual contract start date will be established by a completed and approved contract.

The term of the anticipated contract, resulting from this RFP is a start date of September 15, 2013 with work to be performed by February, 2014 and all payments under this contract to be made no later than April 30, 2014

E. Number of Awards

The Department anticipates making one award as a result of this RFP process.

PART II SCOPE OF SERVICES

Goals: The Department is committed to securing services that are the highest quality, are delivered in an efficient and effective manner and have clearly measurable outcomes. State law requires services contracted for by the Department be “performance-based”. The Maine State Legislature defines performance-based as:

An agreement for the purchase of direct client services employing a client-centered, outcome-oriented process that is based on measurable performance indicators and desired outcomes and includes the regular assessment of the quality of services provided.

The intent is to focus on the improvement of outcomes (results) for the persons who use the services rather than upon outputs (level of effort) by the service providers. The Department has developed the following goal and performance indicators for the program that is the subject of this RFP. Proposals will be evaluated for the degree of responsiveness in meeting these desired outcomes.

1. PROGRAM EVALUATION OF HEALTH INFORMATION EXCHANGE COOPERATIVE AGREEMENT

A. Required Services and Expectations

The primary aims of this component of the evaluation are to:

AIM 1: Identify approaches and strategies that were used to facilitate and expand HIE in priority areas
AIM 2: Describe conditions influencing implementation of HIE program strategies.
AIM 3: Assess how HIE performance has progressed in key program priority areas identified in the HIE cooperative agreement
AIM 4: Assess how key approaches and strategies contributed to progress and identify lessons learned

The evaluator will follow a prescribed approach for data gathering and analysis described in Appendix C, Evaluation Template from ONC, of this RFP. The evaluation population will include: Maine’s HIE program; the Health Information Exchange vendor (HealthInforNet), evaluation stakeholders, key HIE stakeholders, and key priority areas (i.e. participation of Laboratories, Pharmacies, and Providers in the HIE). Data collection will employ various techniques including document review, individual interviews, focus groups, questionnaires, and review of secondary data as detailed in Section 7 of Appendix C. The evaluator will provide draft reports as required by the OSC, and formally present the final report to the OSC, stakeholders, and other parties.

B. Performance Based Contracting, Goals and Performance Indicators:

The successful bidder will be required to meet evaluation goals, each with specific performance indicators and measures:

Goal # 1: Development of a Project Plan, to include activities, milestones, target start and completion dates.

Performance Indicators: The results and outcomes of each activity will be measured by the successful completion and acceptance by the OSC. The OSC and the evaluator will develop, implement, and

measure objectives and measures on a bi-weekly basis.

Specific tasks to meet the Performance Indicator: By the end of the second week of the contract period, submit an acceptable project plan to the OSC. Thereafter, report bi-weekly on work accomplished during the period and outline work to be accomplished in the upcoming period(s) to effectively meet all project plan activities and completion dates.

Goal # 2: Effective Communications with Sponsors and Study Population

Performance Indicators: By the end of the second week of the contract period, develop an approach to contact and report on stakeholders.

Specific tasks to meet the Performance Indicator: Submit questionnaire for review and acceptance by OSC. Report bi-weekly on contacts made, receptivity by those contacted, and success of the contact.

Goal # 3: Effective Data Collection

Performance Indicators: By the end of the second week of the contract period, develop and submit for OSC approval, an approach to collect program data covering the four aims of this component of the evaluation (Facilitate and Expand HIE; Conditions influencing HIE implementation; Progress of the HIE in key program areas; and how strategies contributed to progress and lessons learned.)

Specific tasks to meet the Performance Indicator: Submit data collection protocol for review and acceptance by the OSC. Report bi-weekly on data collection.

Goal # 4: Effective Data Analysis

Performance Indicators: By the end of the second week, of the contract period, develop and submit for OSC approval, an approach for analysis of the various data to be acquired for each of the four aims.

Specific tasks to meet the Performance Indicator: Submit data analysis protocol for review and acceptance by the OSC. Report bi-weekly on analyses, and include high level observations from the analysis.

Goal # 5: Effective and Timely Reporting

Performance Indicators: By the end of the third week of the contract period, develop and submit for OSC approval, an approach for reporting on the analysis of the various data acquired for each of the four aims.

Specific tasks to meet the Performance Indicator: Submit data analysis and reporting protocol for review and acceptance by the OSC. Report bi-weekly on analyses, to include high level observations from the analysis completed thus far and discussion of how timelines will be met. Report bi-weekly on analyses, and include high level observations from the analysis.

Goal #6: Final Evaluation Report

Performance Indicators: By the end of the fourth week of the contract period, develop and submit for OSC approval, the framework reports to be submitted for OSC approval to include an initial draft report by December 1, 2013; a second draft by December 31, 2013 and a final report by mid-January 2014.

Specific tasks to meet the Performance Indicator: Submit data analysis and reporting protocol for review and acceptance by the OSC, to include report drafts, methods of seeking input on the report drafts from stakeholders, and timelines for submission of drafts that meet the target dates as established by the OSC. Report bi-weekly on analyses, and include high level observations from the analysis.

2. EVALUTION OF INTERGRATION OF HIT IN EXISTING AND EMERGING HEALTH CARE INITIATIVES, AND RECOMMENDATIONS FOR FURTHER INTEGRATION AND SUSTAINABILITY OF HIT EFFORTS

A. Required Services and Expectations

The evaluator will provide an evaluation of the OSC, to include an evaluation of the progress made to meet the goals and objectives of the OSC Program; how the OSC has fostered the integration of HIT into existing and emerging health care initiatives; and recommendations to continue the progress toward meeting the goals and objectives. The recommendations section will include options for the OSC framework for further integration and sustainability of HIT to complement emerging and future health care initiatives including, but not limited to, the State’s Meaningful Use program, Telehealth, increasing the use of HIT for all types of providers (for example, behavioral health and long term care), MaineCare’s Health Home program, the State Innovative Model (SIM) grant, high-speed broadband connection, CDC reporting registries, designation of a State-wide HIE, recommendations from efforts such as the LD1818 work group, the Legal Work Group (LWG), MHDO efforts, and other HIT related initiatives that complement the State’s efforts to meet the Triple Aim. (See Appendix C)

AIM 1: Evaluate the progress made by the OSC coordination of HIT programs to meet goals and objectives;
AIM 2: Identify emerging and future initiatives with HIT components that the OSC program can help inform or complement;
AIM 3: Perform a gap analysis of the current status of goals and objectives and the desired state, and identify HIT needs to meet the emerging and future initiatives;
AIM 4: Make recommendations to continue the progress toward meeting goals and objectives (including updating goals and objectives as needed), and further integration and sustainability of OSC/HIT programs to complement emerging and future health care initiatives such as the Health Homes, SIM, and payment and health care service reforms.

B. Performance Based Contracting, Goals and Performance Indicators:

The successful bidder will be required to meet evaluation goals, each with specific performance indicators and measures:

Goal # 1: Development of a Project Plan, to include activities, milestones, target start and completion dates.

Performance Indicators: The results and outcomes of each activity will be measured by the successful completion and acceptance by the OSC. The OSC and the evaluator will develop, implement, and measure objectives and measures on a bi-weekly basis.

Specific tasks to meet the Performance Indicator: By the end of the second week of the contract period, submit an acceptable project plan to the OSC. Thereafter, report bi-weekly on work accomplished during the period and outline work to be accomplished in the upcoming period(s) to effectively meet all project plan activities and completion dates.

Goal # 2: Effective Communications with Stakeholders

Performance Indicators: By the end of the second week of the contract period, develop an approach to contact and report on stakeholders.

Specific tasks to meet the Performance Indicator: Submit questionnaire for review and acceptance by OSC. Report bi-weekly on contacts made, receptivity by those contacted, and success of the contact.

Goal # 3: Effective Data Collection

Performance Indicators: By the end of the second week of the contract period, develop and submit for OSC approval, an approach to collect program data covering the four aims of this component of the evaluation (Progress on goals and objectives; identify emerging and anticipated initiatives with components of HIT; gap analysis; and recommendations for sustainability and further integration of OSC HIT efforts).

Specific tasks to meet the Performance Indicator: Submit data collection protocol for review and acceptance by the OSC. Report bi-weekly on data collection.

Goal # 4: Effective Data Analysis

Performance Indicators: By the end of the second week of the contract period, develop and submit for OSC approval, an approach for analysis of the various data to be acquired for each of the four aims.

Specific tasks to meet the Performance Indicator: Submit data analysis protocol for review and acceptance by the OSC. Report bi-weekly on analyses, and include high level observations from the analysis.

Goal # 5: Effective and Timely Reporting

Performance Indicators: By the end of the third week of the contract period, develop and submit for OSC approval, an approach for reporting on the analysis of the various data acquired for each of the four aims.

Specific tasks to meet the Performance Indicator: Submit data analysis and reporting protocol for review and acceptance by the OSC. Report bi-weekly on analyses, to include high level observations from the analysis completed thus far and discussion of how timelines will be met. Report bi-weekly on analyses, and include high level observations from the analysis.

Goal # 6: Evaluation Reports

Performance Indicators: By the end of the fourth week of the contract period, develop and submit for OSC approval, the framework of draft reports and the final report.

Specific tasks to meet the Performance Indicator: Submit data analysis and reporting protocol for review and acceptance by the OSC, to include draft reports, methods of seeking input on the report drafts from stakeholders, timelines for submission of drafts that meet the target dates as established by the OSC, and final submission of the report, including presentation to groups identified by the OSC. Report bi-weekly on analyses, and include high level observations from the analysis.

Goal # 7: Develop Recommendations for Continued Integration and Coordination of OSC/HIT Programs that Complement and Help Inform Emerging Initiatives

Performance Indicators: By the end of the fifth week, develop and submit to the OSC for approval, the sources and the framework of information to be included in the recommendation section.

Specific tasks to meet the Performance Indicator: Development and report on options for the OSC/HIT framework for further integration and sustainability of HIT to complement emerging and future health care initiatives including, but not limited to, the State HIT-enabled Care Transformation, Office of the National Coordinator of Health Information Technology, the State’s Meaningful Use program, Telehealth, increasing the use of HIT for all types of providers (for example, behavioral health and long term care), MaineCare’s Health Home program, the State Innovative Model (SIM) grant, high-speed broadband connection, CDC reporting registries, designation of a State-wide HIE, recommendations from efforts such as the LD1818 work group, the Legal Work Group (LWG), MHDO efforts, and other HIT related initiatives that complement the State’s efforts to meet the Triple Aim. (See Appendix C). Sources must include an analysis and recommendations based on other state’s OSC, HIT and HIE governance and operational framework; a properly allocated funding for enhancements to a Statewide designated HIE; continuation of the success of the IHOC and other grants; and a thorough identification of potential sources of funding and initiatives.

PART III KEY RFP EVENTS

A. Timeline of Key RFP Events

Event Name	Event Date and Time
Bidders’ Conference (optional)	n/a
Due Date for Receipt of Written Questions	August 16, 2013 at 5:00pm, local time
Due Date for Receipt of Proposals	August 28, 2013 at 2:00pm, local time
Estimated Contract Start Date (subject to change)	September 15, 2013

B. Bidders Conference

The Department does not intend to hold a Bidders’ Conference as part of this RFP process.

C. Questions

1. General Instructions

- a. It is the responsibility of each Bidder to examine the entire RFP and to seek clarification in writing if the Bidder does not understand any information or instructions.
- b. Questions regarding the RFP must be submitted in writing and received by the RFP Coordinator listed on the cover page of this RFP document as soon as possible but no later than the date and time specified in the timeline above.
- c. Questions may be submitted by e-mail, fax or regular mail. If faxed, please be sure to include a cover sheet addressed to the RFP Coordinator listed on the cover of this RFP, and indicate the number of pages sent. The Department assumes no liability for assuring accurate/complete fax or e-mail transmission and receipt.
- d. Include a heading with the RFP Number and Title. Be sure to refer to the page number and paragraph within this RFP relevant to the question presented for clarification, if applicable.

2. Summary of Questions and Answers

Responses to all substantive and relevant questions will be compiled in writing and distributed to all registered, interested persons by e-mail no later than seven (7) calendar days prior to the proposal due date. Only those answers issued in writing by the RFP Coordinator will be considered binding. The Department reserves the right to answer or not answer any question received.

D. Submitting the Proposal

1. **Proposals due:** Proposals must be received no later than 2:00 p.m. local time, on the date listed in the timeline above, at which point they will be opened. Proposals received after the 2:00 p.m. deadline will be rejected without exception.

2. Mailing/Delivery Instructions

PLEASE NOTE: The proposals are not to be submitted to the RFP Coordinator at the requesting Department. The official delivery site is the State of Maine Division of Purchases (address shown below).

- a. Only proposals received at the official delivery site prior to the stated deadline will be considered. Bidders submitting proposals are responsible for allowing adequate time for delivery. Proposals received after the 2:00 p.m. deadline will be rejected without exception. Postmarks do not count and fax or electronic mail transmissions of proposals are not permitted unless expressly stated in this RFP. Any method of hardcopy delivery is acceptable, such as US Mail, in-person delivery by Bidder, or use of private courier services.
- b. The Bidder must send its proposal in a sealed package including one **original and 5 copies** of the complete proposal. Please clearly label the original. One electronic copy of the proposal must also be provided on CD or flash drive with the complete narrative and attachments in MS Word format. Any attachments that cannot be submitted in MS Word format may be submitted as Adobe (.pdf) files.
- c. Address each package as follows (and be sure to include the Bidder's full business name and address as well as the RFP number and title):

Bidder Name/Return Address

Division of Purchases
Burton M. Cross Building, 4th Floor
111 Sewall Street
9 State House Station
Augusta ME 04333-0009

Re: RFP # (insert RFP # assigned by the Division of Purchases)

PART IV PROPOSAL SUBMISSION REQUIREMENTS

This section contains instructions for Bidders to use in preparing their proposals. The Bidder's proposal must follow the outline used below, including the numbering and section and sub-section headings as they appear here. Failure to use the outline specified in this section or to respond to all questions and instructions throughout this document may result in the proposal being disqualified as non-responsive or receiving a reduced score. The Department and its evaluation team for this RFP have sole discretion to determine whether a variance from the RFP specifications should result in either disqualification or reduction in scoring of a proposal. Rephrasing of the content provided in this RFP will, at best, be considered minimally responsive. The Department seeks detailed yet succinct responses that demonstrate the Bidder's experience and ability to perform the requirements specified throughout this document.

A. Proposal Format

1. For clarity, the proposal should be typed or printed. Proposals should be single-spaced with 1" margins on white 8 ½" x 11" paper using a font no smaller than 12 point Times New Roman or similar.
2. All pages should be numbered consecutively beginning with number 1 on the first page of the narrative (this does not include the cover page or table of contents pages) through to the end, including all forms and attachments. For clarity, the Bidder's name should appear on every page, including Attachments. Each Attachment must reference the section or subsection number to which it corresponds.
3. Bidders are asked to be brief and to respond to each question and instruction listed in the "Proposal Submission Requirements" section of this RFP. Number each response in the proposal to correspond to the relevant question or instruction of the RFP. The proposal should be limited to a maximum total of 12 pages. Pages provided beyond the aforementioned maximum amount will not be considered during evaluation.
4. The following proposal elements, if applicable/requested, will not be counted as part of the maximum total number of pages allowed for the proposal: proposal cover page, table of contents, financial forms, any required attachments, appendices, or forms provided by the Department in the RFP, organizational charts, job descriptions, or staff résumés.
5. The Bidder may not provide additional attachments beyond those specified in the RFP for the purpose of extending their response. Any material exceeding the proposal limit will not be considered in rating the proposals and will not be returned. Bidders shall not include brochures or other promotional material with their proposals. Additional materials will not be considered part of the proposal and will not be evaluated.
6. Include any forms provided in the application package or reproduce those forms as closely as possible. All information should be presented in the same order and format as described in the RFP.
7. It is the responsibility of the Bidder to provide all information requested in the RFP package at the time of submission. Failure to provide information requested in this RFP may, at the discretion of the Department's evaluation review team, result in a lower rating for the incomplete sections and may result in the proposal being disqualified for consideration.
8. Bidders should complete and submit the proposal cover page provided in Appendix A of this RFP and provide it with the Bidder's proposal. The cover page must be the first page of the proposal package. It is important that the cover page show the specific information requested, including Bidder address(es) and other details listed. The proposal cover page shall be dated and signed by a person authorized to enter into contracts on behalf of the Bidder.

B. Proposal Contents

Section I Organization Qualifications and Experience

1. Description of the Organization

Present a detailed statement of qualifications and summary of relevant experience and knowledge of Maine OSC, HIE, or Meaningful Use program, references and educational experience directly related to the services position being bid upon. If subcontractors are to be used, provide a list that specifies the name, address, phone number, contact person, and a brief description of the subcontractors' organizational capacity and qualifications.

2. Organizational Description and Qualifications

- a. Location of the corporate headquarters. Also, describe the current or proposed location where services will be provided or from which the contract will be managed.
- b. Attach documentation of any applicable Maine licensure requirements (or any specific credentials required).
- c. Attach a certificate of insurance on a standard Acord form (or the equivalent) evidencing the Bidder's general liability, professional liability and any other relevant liability insurance policies that might be associated with this contract.
- d. Describe any organizational changes that are proposed for the Bidder. Also indicate any plans for mergers, acquisitions or buy-outs. (or state no organizational changes are proposed for the Bidder.)
- e. Attach a list of all current litigation in which the Bidder is named and a list of all closed cases for the past five years in which Bidder paid the claimant either as part of a settlement or by decree. For each, list the entity bringing suit, the complaint, the accusation, amount and outcome. (or state there is no current litigation in which the Bidder is named and there are no cases for the past five years in which the Bidder paid the claimant either as part of a settlement or by decree.)

3. Organizational Experience

Briefly describe the history of the Bidder's organization, especially regarding skills pertinent to the specific work required by the RFP and any special or unique characteristics of the organization which would make it especially qualified to perform the required work activities. Include similar information for any subcontractors.

4. Description of Experience with Similar Projects

- a. Provide a description of five projects that occurred within the past five years which reflect experience and expertise needed in performing the functions described in the "Scope of Services" portion of this RFP. For each of the five examples provided, a contact person from the client organization involved should be listed, along with that person's telephone number. Please note that contract history with the State of Maine, whether positive or negative, may be considered in rating proposals even if not provided by the Bidder.
- b. If the Bidder has not provided similar services, note this, and describe experience with projects that highlight the Bidder's general capabilities.
- c. **Letters of Recommendation** may be attached from persons who are familiar with the Bidder's experience and success with services or projects. In particular, the letters should address degree of satisfaction with the Bidder's performance. No more than three letters of recommendation will be accepted. Copies of the letters must be enclosed with each copy of the proposal package.
- d. **Memorandum of Understanding:** Please provide any evidence of existing or proposed affiliations or collaborations. Attach documentations such as Memorandum of Understanding (MOU) or letters of agreement from key partners. An MOU is a written statement from a collaborative partner named in your proposal signifying the partner's commitment to do the work.

5. Key Personnel and Qualifications

- a. Attach an organization chart showing the key staff for this project and their functional and reporting relationship to other elements of the organization. (or state sole proprietor)

- b. List the names and titles of all key staff for this project including the name and title of the manager who will be accountable for this project (or state sole proprietor). The Bidder should also list which project staff will be transitional (if any) or permanent. Attach: resume and/or job description consistent with the organization chart requested above.

Section II Specifications of Work to be Performed

1. Services to be Provided

Refer to Part I & Part II of this RFP. Discuss the Scope of Services referenced above in this RFP and what the Bidder will offer. Give particular attention to describing the methods and resources you will use and how you will accomplish the tasks involved. If subcontractors are involved, clearly identify the work each will perform.

2. Implementation: Work Plan

Provide a realistic work plan for the implementation of the program through the first contract period. Display the work plan in a timeline chart. Concisely describe each program development and implementation task, the month it will be carried out and the person or position responsible for each task. If applicable, make note of all tasks to be delegated to subcontractors. This must be consistent with your staffing and budget.

Section III Cost Proposal

1. General Instructions

- a. The Bidder must submit a cost proposal that covers the entire period of the contract, including any optional renewal periods. Please use the expected contract start date of (insert date) and an end date of (insert date) in preparing this section.
- b. The cost proposal shall include the costs necessary for the Bidder to fully comply with the contract terms and conditions, RFP requirements and any amendments to those requirements and the responses provided in the bidder's proposal. For information that is not applicable, please identify it as such by indicating N/A, and explain.
- c. Failure to provide the requested information, or to follow required response format may result in the exclusion of the proposal from consideration, at the discretion of the Department.
- d. No costs related to the preparation of the proposal for this RFP or to the negotiation of the contract with the Department may be included in the proposal. Only costs to be incurred after the contract effective date that are specifically related to the implementation or operation of contracted services may be included.

2. Budget Forms:

- a. Bidders are to complete and submit standard State budget forms to provide a detailed breakdown of expenses in performing the services as described in this RFP and in the Bidder's proposal. The forms can be found at the following website in the section titled "Budget Forms":
<http://www.maine.gov/dhhs/contracts/contract-2013/index.html>

3. Budget Narrative:

- a. Bidders are to include a brief budget narrative to explain the basis for determining the expenses submitted on the budget forms.

Section IV Understanding and Ability to Perform Role

Includes documentation that the bidder understands the goals and objectives of the RFP and the importance of Health Information Technology in the existing HITECH Act and in emerging health care initiatives.

Section V Economic Impact within the State of Maine

In addition to all other information requested within this RFP, each Bidder must dedicate a section of its proposal to describing the Bidder's economic impact upon and within the State of Maine. The use of economic impact in making contract award decisions is required in accordance with Executive Order 2012-004, which states that certain service contracts "...advertised for competitive bid shall include scoring criteria evaluating the responding Bidder's economic impact on the Maine economy and State revenues."

For the purposes of this RFP, the term "economic impact" shall be defined as any activity that is directly performed by or related to the Bidder and has a direct and positive impact on the Maine economy and public revenues within the State of Maine. Examples may include, but are not limited to, employment of Maine residents, subcontracting/partnering with Maine businesses, payment of State and Local taxes (such as corporate, sales, or property taxes), and the payment of State licensing fees for the Bidder's business operations.

To complete the "economic impact" section of the Bidder's proposal, the Bidder shall include no more than one page of typed text, describing the Bidder's current, recent, or projected economic impact with the State of Maine, as defined above. The Bidder may include all details and information that it finds to be most relevant for this section.

Section VI Required Proposal Attachments

The following documents must be attached to the back of each Bidder's proposal in the order as numbered below. The required documents will be reviewed and rated by the Department's evaluation team.

- 1. Organizational Chart:** Attach an organizational chart of the bidder responding to this RFP (or state sole proprietor). The organizational chart must include the program/component being proposed. Each position must be identified by position title and correspond to the personnel job descriptions required in Item No. 3 below.
- 2. Job Descriptions:** Attach job descriptions for all staff assigned to the project being proposed in this RFP. (or state sole proprietor) Job descriptions must include minimum qualifications. If your organization administers programs other than the one being proposed in this RFP, include job descriptions of the Executive Director and chief fiscal officer and any other key management staff who will be responsible for carrying out the objectives of the program/component being proposed.
- 3. Staff Résumés:** Attach up-to-date résumés of current staff members that match up with the job descriptions requested above. Position titles must be the same as the position titles on each job description and on the organization chart. (If responding as a sole proprietor, the resume should provide documentation that the sole proprietor has the necessary skills to perform required work.)
- 4. Organizational Status:** If legally incorporated in the State of Maine or other jurisdiction, attach a copy of your organization's attested Articles of Incorporation. Specifically, this would usually be Form MBCA-6 (For-Profits) or Form MNPCA-6 (Non-Profits) from the Secretary of State. Also acceptable for non-profits: a copy of authorization from the Federal Department of the Treasury, certifying Exemption under Section 501(c)(3) of the Internal Revenue Code. Public non-profit organizations may provide certification on appropriate agency letterhead, signed by a public official authorized to enter into contracts on behalf of the public entity. If applying for corporate status, attach a copy of your organization's application for incorporation, i.e., unattested copy of your organization's Articles of Incorporation.

5. **Assurances:** Signed Assurances for compliance with various State and Federal requirements (A form is provided with other Proposal documents, Appendix A, titled Proposal Cover Page and Required Forms.)

PART V PROPOSAL EVALUATION AND SELECTION

Evaluation of the submitted proposals shall be accomplished as follows:

A. Evaluation Process - General Information

1. An evaluation team, comprised of qualified reviewers, will judge the merits of the proposals received in accordance with the criteria defined in the RFP, and in accordance with the most advantageous cost and economic impact considerations (where applicable) for the State.
2. Officials responsible for making decisions on the selection of a contractor shall ensure that the selection process accords equal opportunity and appropriate consideration to all who are capable of meeting the specifications. The goals of the evaluation process are to ensure fairness and objectivity in review of the proposals and to ensure that the contract is awarded to the Bidder whose proposal best satisfies the criteria of the RFP at a reasonable/competitive cost.
3. The Department reserves the right to communicate and/or schedule interviews/presentations with Bidders if needed to obtain clarification of information contained in the proposals received, and the Department may revise the scores assigned in the initial evaluation to reflect those communications and/or interviews/presentations. The Department reserves the right to make video or audio recordings of any applicable interview/presentation process. Interviews/presentations are not required, and changes to proposals will not be permitted during any interview/presentation process. Therefore, Bidders should submit proposals that present their costs and other requested information as clearly and completely as possible.

B. Scoring Weights and Process

1. **Scoring Weights:** The score will be based on a 100 point scale and will measure the degree to which each proposal meets the following criteria.

Section I. Organization Qualifications and Experience (30 points)

Includes all elements addressed above in Part IV, Section I

Section II. Specifications of Work to be Performed (15 points)

Includes all elements addressed above in Part IV, Section II.

Section III. Cost Proposal (25 points)

Includes all elements addressed above in Part IV, Section III.

Section IV. Understanding and Ability to Perform Role (25 points)

Includes all elements addressed above in Part IV, Section IV.

Section V. Economic Impact within the State of Maine (5 points)

Includes all elements addressed above in Part IV, Section V.

2. **Scoring Process:** The review team will use a consensus approach to evaluate the bids. Members of the review team will not score the proposals individually but instead will arrive at a consensus as to assignment of points on each category of each proposal. The contract award(s) will be made to the Bidder(s) receiving the highest number of evaluation points, based upon the proposals' satisfaction

of the criteria established in the RFP. The Economic Impact section will also be scored using a consensus approach, with the highest number of evaluation points being assigned to the Bidder(s) with the most economic impact, actual or feasible, as determined by the evaluation team. The Cost section will be scored according to a mathematical formula described below.

- 3. Scoring the Cost Proposal:** The total cost proposed for conducting all the functions specified in this RFP will be assigned a score according to a mathematical formula. The lowest bid will be awarded 25 points. Proposals with higher bids values will be awarded proportionately fewer points calculated in comparison with the lowest bid.

The scoring formula is:

$$(\text{lowest submitted cost proposal} / \text{cost of proposal being scored}) \times 100 = \text{pro-rated score.}$$

No Best and Final Offers: The State of Maine will not seek a best and final offer (BAFO) from any Bidder in this procurement process. All Bidders are expected to provide their best value pricing with the submission of their proposal.

4. Negotiations

The Department reserves the right to negotiate with the successful Bidder to finalize a contract at the same rate or cost of service as presented in the selected proposal. Such negotiations may not significantly vary the content, nature or requirements of the proposal or the Department's Request for Proposals to an extent that may affect the price of goods or services requested. The Department reserves the right to terminate contract negotiations with a selected respondent who submits a proposed contract significantly different from the proposal they submitted in response to the advertised RFP. In the event that an acceptable contract cannot be negotiated with the highest ranked Bidder, the Department may withdraw its award and negotiate with the next-highest ranked Bidder, and so on, until an acceptable contract has been finalized. Alternatively, the Department may cancel the RFP, at its sole discretion.

C. Selection and Award

1. The final decision regarding the award of the contract will be made by representatives of the Department subject to approval by the State Purchases Review Committee.
2. Notification of contractor selection or non-selection will be made in writing by the Department.
3. Issuance of this RFP in no way constitutes a commitment by the State of Maine to award a contract, to pay costs incurred in the preparation of a response to this request, or to pay costs incurred in procuring or contracting for services, supplies, physical space, personnel or any other costs incurred by the Bidder.
4. The State, Department, or the OSC reserves the right to reject any and all proposals or to make multiple awards.

D. Appeal of Contract Awards

Any person aggrieved by the award decision that results from this RFP may appeal the decision to the Director of the Bureau of General Services in the manner prescribed in 5 MRSA § 1825-E and 18-554 Code of Maine Rules, Chapter 120 (found here: <http://www.maine.gov/purchases/policies/120.shtml>). The appeal must be in writing and filed with the Director of the Bureau of General Services, 9 State House Station, Augusta, Maine, 04333-0009 within 15 calendar days of receipt of notification of contract award.

If this RFP results in the creation of a pre-qualified or pre-approved list of vendors, then the appeal procedures mentioned above are available upon the original determination of that vendor list, but not during subsequent competitive procedures involving only the pre-qualified or pre-approved list participants.

PART VI CONTRACT ADMINISTRATION AND CONDITIONS

A. Contract Document

1. The successful Bidder will be required to execute a contract in the form of a State of Maine Agreement to Purchase Services (BP54). A list of applicable Riders is as follows:

Rider A: Specification of Work to be Performed

Rider B: Method of Payment and Other Provisions

Rider C: Exceptions to Rider B

Rider D: (optional; for use by Department)

Rider E: (optional; for use by Department)

Rider G: Identification of Country in Which Contracted Work Will Be Performed

The complete set of standard BP54 contract documents may be found on the Division of Purchases website at the following link: <http://www.maine.gov/purchases/info/forms/BP54.doc>

Other forms and contract documents commonly used by the State can be found on the Division of Purchases website at the following link: <http://www.maine.gov/purchases/info/forms.shtml>

2. Allocation of funds is final upon successful negotiation and execution of the contract, subject to the review and approval of the State Purchases Review Committee. Contracts are not considered fully executed and valid until approved by the State Purchases Review Committee and funds are encumbered. No contract will be approved based on an RFP which has an effective date less than fourteen (14) calendar days after award notification to Bidders. (Referenced in the regulations of the Department of Administrative and Financial Services, Chapter 110, § 3(B)(i): <http://www.maine.gov/purchases/policies/110.shtml>)

This provision means that a contract cannot be effective until at least 14 days after award notification.

3. The Department estimates having a contract in place by September 15, 2013. The State recognizes, however, that the actual contract effective date depends upon completion of the RFP process, date of formal award notification, length of contract negotiation, and preparation and approval by the State Purchases Review Committee. Any appeals to the Department's award decision(s) may further postpone the actual contract effective date, depending upon the outcome. The contract effective date may need to be adjusted, if necessary, to comply with mandated requirements.
4. In providing services and performing under the contract, the successful Bidder shall act independently and not as an agent of the State of Maine.

B. Standard State Agreement Provisions

1. Agreement Administration

- a. Following the award, an Agreement Administrator from the Department will be appointed to assist with the development and administration of the contract and to act as administrator during the entire contract period. Department staff will be available after the award to consult with the successful Bidder in the finalization of the contract.
- b. In the event that an acceptable contract cannot be negotiated with the highest ranked Bidder, the Department may withdraw its award and negotiate with the next-highest ranked Bidder, and so on, until an acceptable contract has been finalized. Alternatively, the Department may cancel the RFP, at its sole discretion.

2. Payments and Other Provisions

The State anticipates paying the Contractor on the basis of net 30 payment terms, upon the receipt of an accurate and acceptable invoice. An invoice will be considered accurate and acceptable if it contains a reference to the State of Maine contract number, contains correct pricing information relative to the contract, and provides any required supporting documents, as applicable, and any other specific and agreed-upon requirements listed within the contract that results from this RFP.

PART VII LIST OF RFP APPENDICES AND RELATED DOCUMENTS

1. Appendix A – State of Maine Proposal Cover Page
2. Appendix B – Cost Proposal Form
3. Appendix C – Evaluation Template from ONC

PART VIII APPENDICES

Appendix A

**State of Maine
Department of Health and Human Services
PROPOSAL COVER PAGE**

(Note: use of this form is optional, at the discretion of the Department.)

RFP #(insert RFP# assigned by Division of Purchases)
*Request for program evaluation of Maine's Office of the State Coordinator
including Health Information Exchange Program*

Bidder's Organization Name:		
Chief Executive - Name/Title:		
Tel:	Fax:	E-mail:
Headquarters Street Address:		
Headquarters City/State/Zip:		
<i>(provide information requested below if different from above)</i>		
Lead Point of Contact for Proposal - Name/Title:		
Tel:	Fax:	E-mail:
Street Address:		
City/State/Zip:		

Proposed Cost:	
<i>The proposed cost listed above is for reference purposes only, not evaluation purposes. In the event that the cost noted above does not match the Bidder's detailed cost proposal documents, then the information on the cost proposal documents will take precedence.</i>	

- This proposal and the pricing structure contained herein will remain firm for a period of 180 days from the date and time of the bid opening.
- No personnel currently employed by the Department or any other State agency participated, either directly or indirectly, in any activities relating to the preparation of the Bidder's proposal.
- No attempt has been made or will be made by the Bidder to induce any other person or firm to submit or not to submit a proposal.
- The undersigned is authorized to enter into contractual obligations on behalf of the above-named organization.

To the best of my knowledge all information provided in the enclosed proposal, both programmatic and financial, is complete and accurate at the time of submission.

Authorized Signature Date Name and Title (Typed)

**State of Maine
Department of Health and Human Services
COST PROPOSAL FORM**

RFP #(insert RFP# assigned by Division of Purchases)
*Request for program evaluation of Maine’s Office of the State Coordinator
including Health Information Exchange Program*

(Part IV, Section III of this RFP template addresses the use of a cost proposal form. The use of this form is optional at the discretion of the Department, but its use is **strongly encouraged** so that you receive cost proposals that can be easily compared to one another on an ‘apples-to-apples’ basis. Due to all the possible variations in cost proposal forms, a detailed template cannot be provided for you. Please create a form that addresses all aspects of the cost information you need to see, in order to best evaluate the proposals received in response to this RFP. Please note: if the cost proposal for your RFP can be presented in one all-inclusive dollar amount, then a cost proposal form may not be necessary. If you have multiple cost elements or hourly rates to consider, then a cost proposal form would be applicable and helpful.)

Bidder’s Organization Name: _____

Cost Proposal Form

Personnel Expenses		Amount
employee # 1	title, function, % of time, Fully Burdened Rate	
Travel Expenses		
Supplies		
Outreach and Surveys		
Other (ex. phones, licenses, copier lease)		
Total Cumulative Projected Cost		

State of Maine Office of the State Coordinator for Health Information Technology Program Evaluation Plan

Prepared for:

Office of the National Coordinator for Health Information Technology

Center for Medicare and Medicaid Services

State of Maine Evaluation Lead: Dawn R. Gallagher

June 2013

TABLE OF CONTENTS

1. Introduction 25

2. Program Description..... 2

3. Evaluation Stakeholders..... 3

4. Aims of the Evaluation 3

5. Overall Approach 4

6. Evaluation Questions 4

7. Study Design 6

 Data Collection Methods.....7

 Data Analysis Methods.....8

8. Dissemination of Findings and Recommendations..... 8

9. Timeline..... 8

1. INTRODUCTION

In April 2011, the State of Maine was awarded \$3,423,129 by the Office of the National Coordinator for Health Information Technology (ONC)'s State Health Information Exchange Cooperative Agreement Program.¹ The purpose of this award is to develop, implement and facilitate health information technology (HIT) and health information exchange (HIE) in the state of Maine. The Maine program is housed in the Office of the State Coordinator for HIT in the Office of MaineCare Services under the Maine Department of Health and Human Services, which is the sponsor of this program. The program's efforts to advance HIE are carried out in the context of a Statewide HIT Plan approved by the ONC and State policies and laws. The primary purpose of the program is to support the federal/state partnership HITECH vision:

A Nation in which the health and well-being of individuals and communities are improved by health information technology.

Maine's Office of the State Coordinator for HIT, housed in the Department of health and Human Services leads the State's HIT/HIE efforts and MaineCare's Meaningful Use Program for health care providers. Maine's statewide HIT strategy encompasses the following ideal:

Preserving and improving the health of Maine people requires a transformed patient centered health system that uses highly secure, integrated electronic health information systems to advance access, safety, quality, and cost efficiency in the care of individual patients and populations.

Maine's Department of Health and Human Services has adopted a vision and mission:

Vision: Maine people living safe, healthy, and productive lives

Mission: Provide integrated health and human services to the people of Maine to assist individuals in meeting their needs, while respecting the rights and preferences of the individual and family, within available resources.

Maine's Medicaid Meaningful Use Program, under the Office of the State Coordinator for HIT has a vision that reflects the national and State HIT goals:

A Medicaid program that employs secure electronic health information technology to provide truly integrated, efficient, and high quality health care to Members and to improve health outcomes.

Services performed by the OSC programs facilitate the secure exchange of health information between Maine health care organizations, providers, public health agencies and consumers according to nationally-recognized standards. Because the Medicaid Meaningful Use program is under the umbrella of the Office of the State Coordinator, it is important to assess both the HIT program and the Meaningful Use program in the context of this evaluation, as they chart the path forward for the future and an updated State Health Plan. Key program milestones for the Office of the State Coordinator for Health Information Technology and the State's Meaningful Use Program are identified in the table below:

¹ The April 2011 grant award replaced an earlier grant award that established the Health Information Exchange Program in Maine. State of Maine RFP #(insert number)
Rev. 10/12

Milestone	Date
Contracted services for a statewide HIE	February 2010
Created a Health Information Technology steering committee of providers, consumers, advocacy groups, private entities, government leaders, public agencies and other stakeholders	February 2010
Established framework for Medicaid Adopt, Implement, and Upgrade program and Meaningful Use program (Approval of Maine's SMHP)	June 2010
Implemented the Medicaid Meaningful Use program	June 2011
Conducted annual updates to program strategic plan	May 2011, May 2012
Approved Meaningful Use Implementation Plan Update (IAPD-U)	April 2013 (through September 2015)
Submitted program evaluation plan for approval	June 2013

2. PROGRAM DESCRIPTION

The Office of the State Coordinator for Health Information Technology, which has program oversight of the State's Medicaid Meaningful Use program, serves as the foundation for Maine's HIT initiatives. This section provides the evaluation framework describing context, processes and outcomes:

Context	
Priorities <i>(ONC required and state specific)</i>	Inputs <i>(primary or key)</i>
<ul style="list-style-type: none"> Laboratories participating in delivering electronic structured laboratory results Pharmacies participating in electronic prescribing Providers sharing electronic patient care summaries Usage of HIE Implementation Metrics Governance Technical Infrastructure Business and Technical Options Legal / Policy Finance & Grant Management Leveraging Funding Meaningful Use Stage 2 and Stage 3 requirements (when known) Integration with Payment Reform and Emerging health care initiatives and ONC/CMS priorities and policies Sustainable Program 	<ul style="list-style-type: none"> Stakeholder Input <i>(Maine Regional Extension Center, Legislature, HIT Steering Committee, State HIE, OMS Meaningful Use Program, HITSC)</i> Strategic and operational plans Legislative and executive support Federal grant funding ONC guidance CMS guidance Nationally known Quality Programs and Metrics Maine DHHS and State Leadership
Process and Outcomes	
Strategies <i>(key approaches of program)</i>	Outcomes <i>(short- and long-term results)</i>
<ul style="list-style-type: none"> Active stakeholder engagement HIE and OSC planning and implementation Supporting Laboratories / pharmacies / providers Assure privacy and security of information 	<ul style="list-style-type: none"> Adoption-related outcomes <i>(priority areas at minimum)</i> Cost, quality and health outcomes <i>(e.g., triple aim)</i> Sustainability and Governance

3. EVALUATION STAKEHOLDERS

Evaluation stakeholders are individuals or organizations that have a vested interest in the evaluation. Although often referred to as "stakeholders," subgroups of these individuals may actually have very different types of interests in the State of Maine RFP #(insert number)

evaluation performed. The primary stakeholders for this evaluation include:

- Leadership and management of the Office of the State Coordinator for Health Information Technology and the State's Meaningful Use Program
- Maine Legislators and Executives
- Office of the National Coordinator leadership and management
- Individual Consumers and Consumer Groups
- Membership of HITSC (State Agencies, Private and Public Stakeholders, and HealthInfoNet)
- Maine DHHS (leaders of initiatives such as value-based purchasing, SIM, rural health, telemedicine (TCL technology) and health homes)
- Maine CDC
- Maine Health Data Org
- Medicaid Agency
- Broadband Agency
- Maine's IT Office
- Maine's Mental Health Agency
- Maine's Long Term Care Agency
- Maine's CHIPRA Program
- Maine's HIE
- SIM Project and Health Homes Initiative

The evaluation team will work directly with these stakeholders to finalize the evaluation plan by including them in discussions about what information will be most useful to them in taking actions to advance HIE and improve the Office of the State Coordinator for Health Information Technology and the State's Meaningful Use Program, reviewing proposed data collection and analysis methodologies, and developing an approach for the dissemination of findings and recommendations.

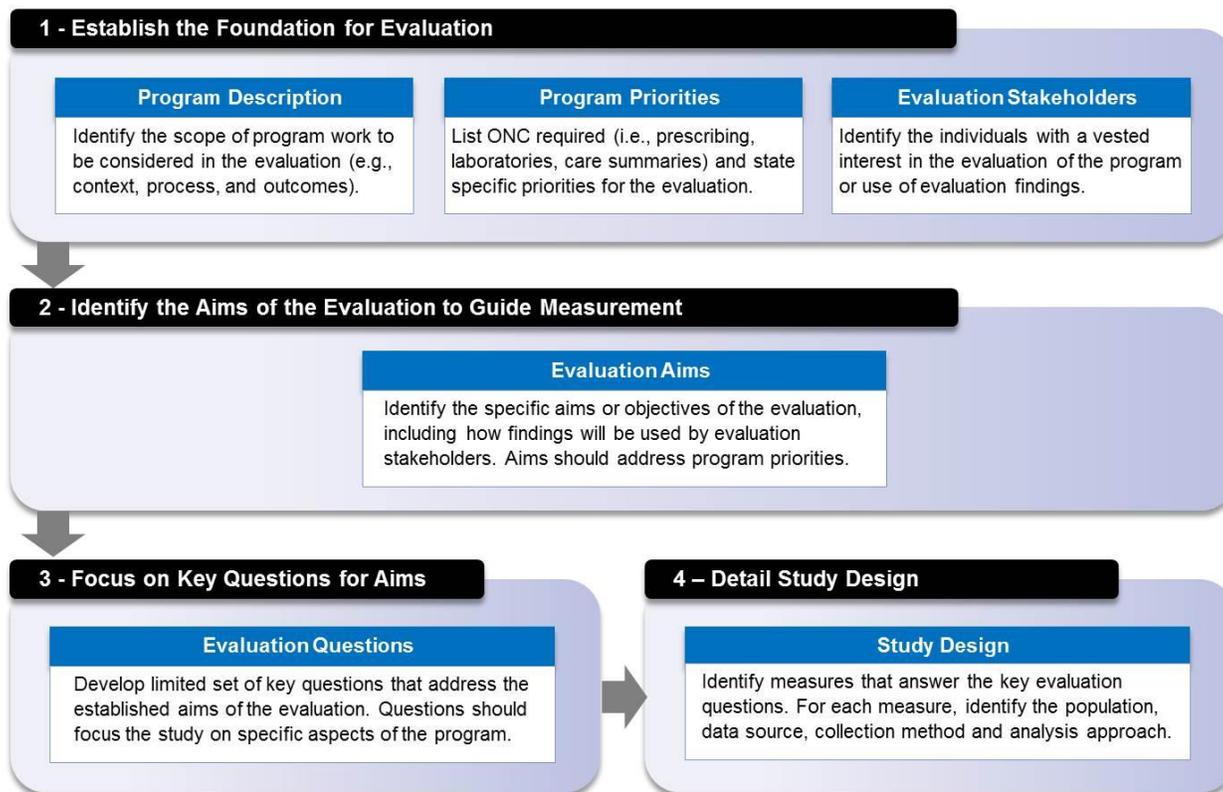
4. AIMS OF THE EVALUATION

For this activity, evaluation is defined as the collection of information about the context, processes and outcomes of the program to assess the program, improve program effectiveness, and inform programmatic decisions within Maine and by ONC. The primary aims of the evaluation are the following:

- Identify approaches and strategies used to facilitate and expand HIE in priority areas
- Describe conditions influencing implementation of program strategies
- Assess how HIE performance has progressed in key program priority areas
- Assess how key approaches and strategies contributed to progress
- Identify and document lessons learned and gap analysis
- Develop a plan for sustainability with ongoing milestones

5. OVERALL APPROACH

To establish a systematic approach for the evaluation plan, we provide a clear explanation of what our evaluation is intended to measure, how evaluation questions align to evaluation aims, and whether evaluation questions provide the information required by key stakeholders. The following figure illustrates these steps and presents an overview of our evaluation approach.



6. EVALUATION QUESTIONS

Evaluation questions help to define the boundaries for an evaluation study by specifically delineating the aspects of the program on which the evaluation will focus. The evaluation will use a mixed methods approach to assessing evaluation aims. Evaluation plan questions address both process and outcome components of the program description. The following table identifies evaluation questions for each evaluation aim identified in Section 4. Additional information on data collection and analysis follows.

This evaluation consists of several components: 1) Evaluation of the HIE (to include the Cooperative Agreement executed between the State of Maine and HealthInfoNet that operates the State-wide HIE); 2) Evaluation of the State's OSC and State HIT Plan; and 3) Lessons learned and a road-map for sustaining and integrating HIT in to the framework of policies and practices (Updated HIT Plan).

Focus	Evaluation Question
AIM 1: Identify approaches and strategies that were used to facilitate and expand HIE in priority areas	
Strategies	What approaches and strategies were used to sign up exchange users and how successful were these approaches?
AIM 2: Describe conditions influencing implementation of program strategies	
Governance	To what extent did the governance model for HIE promote or hinder program strategies? What improvements can be made to the governance of the HIE to promote the exchange of clinical data for treatment, payment, and health care operations and a "level playing field"? How are the importance of public purposes and public interest as reflected by the OSC and State HIT Plans, incorporated and reflected in the HIE governance model? What improvements in the OSC and State HIT Plan models best meet the needs of the State for the next four years and beyond?
Survey	To what extent did communications and outreach practices influence key stakeholder engagement? (distinguish between the provider community and the consuming public) How can the State HIT Plan and OSC program better promote coordination of communications and stakeholder engagement among various consumer, advocacy, HIE, and other health care related groups and organizations?

Focus	Evaluation Question
Resources	What are stakeholder perceptions of the adequacy of resources to support HIE implementation, the OSC program, and HIT efforts? What resources are available that have not been leveraged or could be leveraged in a more productive manner? How successful has the State OSC and HIE been in building a framework that readily lends itself to identifying opportunities for grants and other types of funding?
AIM 3: Assess how HIE performance has progressed in key program priority areas	
Adoption	How has HIE performance progressed toward adoption in each of the key program priority areas?
Sustainability	To what extent has progress been demonstrated in the implementation of the sustainability plan?
Utilization	What are the barriers to utilization? Is there a significant difference between HIE adoption and HIE usage? Is HIE participation hampered by lack of technology? The costs of participating in the HIE? How do all consumers who want to have their health care data in the HIE, ensure their health care data is in the HIE, especially those in the rural areas? Are there policies or frameworks that prevent treatment providers, payers, and operations from obtaining clinical data, especially PHI?
AIM 4: Assess how key approaches and strategies contributed to progress and identify lessons learned	
Elements of success	In what ways did program strategies contribute to successful progress in program priorities?
Lessons learned	What lessons has the program learned that are relevant to future efforts to advance the exchange of health information? How can those lessons be applied to the HIE, and the OSC and State HIT Plan going forward?
AIM 5: Assess path to sustainability and Develop Updated State HIT Plan	
Sustainability	How does accumulated knowledge from the evaluation process chart a course for program future, including an updated State HIT Plan? What actions should be taken and included in the updated State HIT Plan in recognition of the further integration of the OSC and the Meaningful Use Program? What are the actions and emerging initiatives that help inform and shape the updated State HIT Plan, and how is HIT best integrated with those initiatives to ensure efficiency, and Triple Aim goals are met?

7. STUDY DESIGN

To address the established aims of the evaluation and related evaluation questions, multiple data collection and analysis methods will be used. The following table details the primary approach to data collection and analysis. Descriptions of methods for collection and analysis follow.

Evaluation Question	Study Population	Data Source	Data Collection	Data Analysis	
What approaches and strategies were used to sign up exchange users?	<ul style="list-style-type: none"> Maine HIE Program 	<ul style="list-style-type: none"> Program documentation 	<ul style="list-style-type: none"> Document Review 	<ul style="list-style-type: none"> Data extraction 	<ul style="list-style-type: none"> AIM 1
To what extent did the governance model for HIE promote or hinder program strategies?	<ul style="list-style-type: none"> Evaluation stakeholders Key HIE stakeholders 	<ul style="list-style-type: none"> Sample of stakeholder groups 	<ul style="list-style-type: none"> Interviews Focus groups 	<ul style="list-style-type: none"> Content analysis 	<ul style="list-style-type: none"> AIM 2
To what extent did communications and outreach practices influence key stakeholder engagement? (distinguish between the provider community and the consuming public)	<ul style="list-style-type: none"> Evaluation stakeholders Key HIE stakeholders 	<ul style="list-style-type: none"> Sample of stakeholder groups 	<ul style="list-style-type: none"> Interviews Focus groups 	<ul style="list-style-type: none"> Content analysis 	<ul style="list-style-type: none"> AIM 2

Evaluation Question	Study Population	Data Source	Data Collection	Data Analysis	
What are stakeholder perceptions of the adequacy of resources to support HIE implementation?	<ul style="list-style-type: none"> Evaluation stakeholders Key HIE stakeholders 	<ul style="list-style-type: none"> Sample of stakeholder groups 	<ul style="list-style-type: none"> Questionnaire 	<ul style="list-style-type: none"> Statistical analysis Content analysis 	<ul style="list-style-type: none"> AIM 2
How has HIE performance progressed toward adoption in each of the key program priority areas?	<ul style="list-style-type: none"> Laboratories 	<ul style="list-style-type: none"> Progress reports Audit log 	<ul style="list-style-type: none"> Secondary data 	<ul style="list-style-type: none"> Trend analysis Statistical analysis 	<ul style="list-style-type: none"> AIM 3
	<ul style="list-style-type: none"> Pharmacies 	<ul style="list-style-type: none"> Progress reports Vendor data 	<ul style="list-style-type: none"> Secondary data 		
	<ul style="list-style-type: none"> Providers 	<ul style="list-style-type: none"> Progress reports Sample of providers 	<ul style="list-style-type: none"> Secondary data Questionnaire 		
To what extent has progress been demonstrated in the implementation of the sustainability plan?	<ul style="list-style-type: none"> Maine HIE Program 	<ul style="list-style-type: none"> Program documentation 	<ul style="list-style-type: none"> Document Review 	<ul style="list-style-type: none"> Content analysis 	<ul style="list-style-type: none"> AIM 3
Is there a significant difference between HIE adoption and HIE usage?	<ul style="list-style-type: none"> Evaluation stakeholders Key HIE stakeholders 	<ul style="list-style-type: none"> Sample of stakeholder groups 	<ul style="list-style-type: none"> Interviews Focus groups 	<ul style="list-style-type: none"> Content analysis 	<ul style="list-style-type: none"> AIM 3
In what ways did program strategies contribute to successful progress in program priorities?	<ul style="list-style-type: none"> Evaluation stakeholders Key HIE stakeholders 	<ul style="list-style-type: none"> Sample of stakeholder groups 	<ul style="list-style-type: none"> Interviews Focus groups 	<ul style="list-style-type: none"> Content analysis 	<ul style="list-style-type: none"> AIM 4
What lessons, if any, did the program learn that are relevant to future efforts to advance the exchange of health information and HIE?	<ul style="list-style-type: none"> Evaluation stakeholders Key HIE stakeholders 	<ul style="list-style-type: none"> Sample of stakeholder groups 	<ul style="list-style-type: none"> Interviews Focus groups 	<ul style="list-style-type: none"> Content analysis 	<ul style="list-style-type: none"> AIM 4
How will those lessons be incorporated into the program strategies, going forward?	<ul style="list-style-type: none"> Evaluation stakeholders Key HIE stakeholders 	<ul style="list-style-type: none"> Sample of stakeholder groups 	<ul style="list-style-type: none"> Interviews Focus groups 	<ul style="list-style-type: none"> Content analysis 	<ul style="list-style-type: none"> AIM 4
How does accumulated knowledge from the evaluation process chart a course for program future? (Identify and recommend process and organizational improvements a develop a updated State OSC HIT Plan)	<ul style="list-style-type: none"> Evaluation stakeholders Key HIE stakeholders 	<ul style="list-style-type: none"> Sample of stakeholder groups 	<ul style="list-style-type: none"> Interviews Focus groups Questionnaire 	<ul style="list-style-type: none"> Content analysis 	<ul style="list-style-type: none"> AIM 5
As the Maine framework moves to more fully integrate its OSC and Meaningful Use programs, what actions should be taken to increase efficiency, integrate HIT into new emerging initiatives such as value-based purchasing, SIM, health homes)?	<ul style="list-style-type: none"> Evaluation stakeholders Key HIE stakeholders 	<ul style="list-style-type: none"> Progress reports Sample of providers 	<ul style="list-style-type: none"> Secondary data Questionnaire Interviews Focus groups 	<ul style="list-style-type: none"> Content analysis 	<ul style="list-style-type: none"> AIM 5

To select methods, we considered overall appropriateness to the program context (e.g., priorities) and feasibility given program constraints (e.g., resources). Each data collection method is outlined in the table below. Other data collection methods may be utilized as appropriate.

Data Collection Methods

Collection Method	Description
Document Review	The review of existing written documents, reports and other artifacts (e.g., progress reports) to collect data and information for analysis and interpretation.
Secondary Data	The analysis of existing data that was either gathered by another organization or individual or for some other purpose than the evaluation—or both (e.g., Surescripts e-prescribing data).
Interviews	The asking of questions orally to individuals, often in a format with standardized questions and open-ended responses. Closed-ended questions should have specific answers specified.
Focus Groups	A group interview of approximately six to twelve people who share similar characteristics or common interests. A facilitator guides the group based on a predetermined set of topics.
Questionnaires	A questionnaire is a set of questions for gathering information from individuals. Commonly administered as a survey, they may also be administered by mail, telephone, or as handouts.

Data Analysis Methods

Collection Method	Description
Data Extraction	The process of reviewing a data source to retrieve data and information of interest.
Content Analysis	A method for studying the content of a data source (e.g., document, transcript, survey response) to categorize information, often leading to conclusions about common themes, issues, processes or ideas expressed.
Trend Analysis	A method for analyzing the change over time of measures that are collected repeatedly. Trend analysis compares repeated measurements to increase awareness of change.
Statistical Analysis	A set of methods to analyze, present, and interpret data. Statistical analyses provide an approach to describe data and to make interpretations about the meaning of the data.

8. DISSEMINATION OF FINDINGS AND RECOMMENDATIONS

The evaluation team will determine stakeholders' preferred communication method and their specific needs regarding the format of findings and recommendations resulting from the evaluation. We anticipate developing the following products for the presentation of evaluation findings and recommendations:

- The final evaluation report audience will be the State of Maine Office of the State Coordinator, HITSC, state leaders and federal partners (ONC & CMS)
- A PowerPoint slide set of data and findings linked to sound recommendations for action
- Presentation of findings and recommendations at face-to-face stakeholder meetings
- Presentation of findings and recommendations through public webinar or press release

9. TIMELINE

The timeline below is based on achieving the evaluation before February 7th, 2014. The completion of evaluation activities depends on the progress of program activities, availability of data and timeliness of feedback from ONC on evaluation activities outlined within this plan.

Evaluation Activity	Completion Date
Approval of Evaluation plan by ONC	July 15, 2013
RFP (Competitive Process)	August 28, 2013
Execute Contract (Including Final Work Plan)	September 15, 2013

Data Gathering (Including Stakeholders Meetings and Input)	November 1, 2013
Data Analysis and Draft Findings	November 25, 2013
Draft Report	December 20, 2013
Comment Period	January 10, 2014
Final Report with Recommendations for Updated State HIT Plan	January 15, 2014
Final Presentation of Report to Sponsors	February 3, 2014